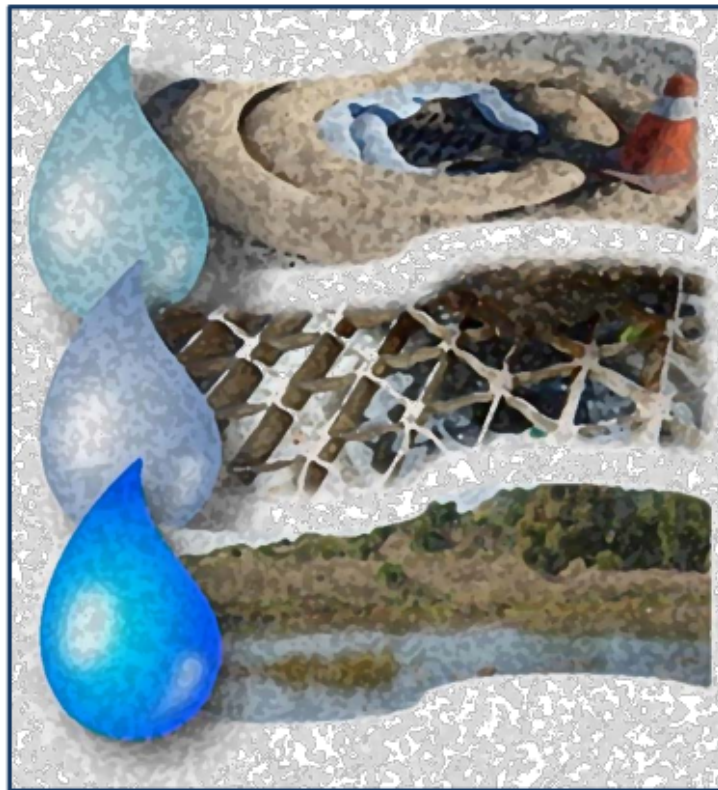


**STATEWIDE INDUSTRIAL GENERAL PERMIT
DISCHARGER'S GUIDE TO THE STORM WATER MULTIPLE
APPLICATION AND REPORT TRACKING SYSTEM (SMARTS)
DATABASE**

**LEVEL 1 EXCEEDANCE RESPONSE
ACTION (ERA) REPORT SUBMITTAL**



Last Revised: June 1, 2020

Storm Water Industrial General Permit - Level 1 Exceedance Response Action (ERA) Report:

All Dischargers have Baseline status for all parameters at the beginning of a Discharger's Notice of Intent (NOI) coverage in the Statewide Industrial Storm Water General Permit (IGP). A Discharger moves through the Exceedance Response Action (ERA) Levels if monitoring results from the prior reporting year (also referred to as reporting period) exceed the Numeric Action Levels (NALs). The Industrial General Permit reporting year is July 1st through June 30th.

SMARTS assigns a regulatory Level status annually on July 1st (the end of each reporting year) to each industrial facility per parameter based on the required monitoring data submitted into SMARTS¹. A change of Level status will be assigned to the facility if sampling results from the previous reporting year indicates that the discharge from an industrial facility exceeds an Annual or Instantaneous Maximum Numeric Action Level (NAL) for an applicable parameter².

Level 1 status requires the Discharger to:

- (1) Perform a Level 1 Exceedance Response Action Evaluation by October 1 of the year Level 1 status is determined, and
- (2) Submit a Level 1 Exceedance Response Action Report by January 1 following the Level 1 status determination.

A Discharger must obtain the assistance of a Qualified Industrial Storm Water Practitioner (QISP)³ to complete the Level 1 Exceedance Response Action Evaluation and prepare the Level 1 Exceedance Response Action Report.

A Qualified Industrial Stormwater Practitioner must satisfy one of the following criteria to be qualified to assist a Discharger with the Exceedance Response Action process, and to prepare Exceedance Response Actions:

- (1) Have a valid Qualified Industrial Stormwater Practitioner certificate number through the sponsored and approved Qualified Industrial Stormwater

¹ **NOTE:** Emails from SMARTS are not a formal notice and Dischargers must track any Exceedance Response Action exceedances separately from SMARTS. The Numeric Action Level calculation in SMARTS is provided for convenience to assist the facility and Water Board staff, but it is ultimately the responsibility of the Discharger to demonstrate permit compliance.

² **NOTE:** A Discharger is not in violation of the Industrial General Permit when its discharge exceeds a Numeric Action Level, however, a Discharger is in violation of the Industrial General Permit if the required Exceedance Response Actions and affiliated documents are not completed and submitted on time.

³ **NOTE:** Further information regarding the Qualified Industrial Stormwater Practitioner training program is located on the [State Water Board webpage](https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml) at (https://www.waterboards.ca.gov/water_issues/programs/stormwater/qisp.shtml)

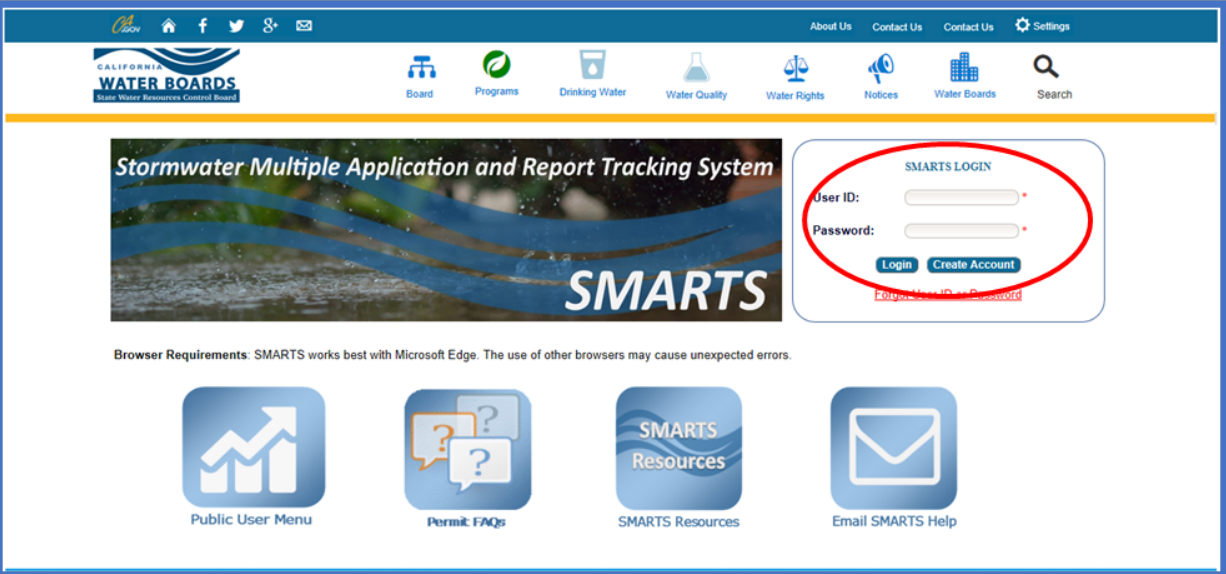
Practitioner Training Program provided by the California Stormwater Quality Association (CASQA) and administered by the Office of Water Programs at Sacramento State (OWP), or

- (2) Be a licensed engineer by the California Department of Consumer Affairs, Board for Professional Engineers, Land Surveyors, and Geologists, and completed the Qualified Industrial Stormwater Practitioner self-certificate review administered by the Office of Water Programs.

The Level 1 Exceedance Response Action Report must be submitted and certified by the facility's Legal Responsible Person (LRP) or the Duly Authorized Representative (DAR). The following steps guide a Legally Responsible Person or Duly Authorized Representative to submit the Level 1 Exceedance Response Action Report prepared by a Qualified Industrial Stormwater Practitioner:

1. Please log into [SMARTS](https://smarts.waterboards.ca.gov): (<https://smarts.waterboards.ca.gov>)

Please use SMARTS in Microsoft Edge



The screenshot shows the SMARTS login interface. At the top is a navigation bar with the California Water Boards logo and various menu items like Board, Programs, Drinking Water, Water Quality, Water Rights, Notices, Water Boards, and Search. Below this is a large banner for the "Stormwater Multiple Application and Report Tracking System" with the SMARTS logo. To the right of the banner is a "SMARTS LOGIN" box containing fields for "User ID:" and "Password:", both with red asterisks indicating required fields. Below these fields are "Login" and "Create Account" buttons. A red circle highlights the login fields. Below the banner, there is a "Browser Requirements" note stating that SMARTS works best with Microsoft Edge. At the bottom, there are four icons: "Public User Menu", "Permit FAQs", "SMARTS Resources", and "Email SMARTS Help".

2. From the main menu select “Reports”:

Water Boards Storm Water Multiple Application & Report Tracking System

Help Logout

You are logged-in as
If this account does not belong to you, please log out.

Navigate To:

Welcome to the Storm Water Multiple Application and Report Tracking System - SMARTS

| Select Program to Access | Last 10 Records Previously Saved | | | | | |
|---|---|----------------|---------------|---------------|---------------|--------|
| Construction General Permit | <table border="1"><thead><tr><th>Application ID</th><th>Permit Type</th><th>Document Type</th><th>Facility Name</th><th>Status</th></tr></thead><tbody></tbody></table> | Application ID | Permit Type | Document Type | Facility Name | Status |
| Application ID | Permit Type | Document Type | Facility Name | Status | | |
| Industrial General Permit | | | | | | |
| Municipal Phase I Permit | | | | | | |
| Municipal Phase II Permit | | | | | | |
| Caltrans MS4 Permit | | | | | | |
| Documents Ready for Certification | | | | | | |
| Reports | | | | | | |
| Manage Linked Users | | | | | | |
| Outstanding Invoices | | | | | | |
| Recertification | | | | | | |
| Update User Profile | | | | | | |
| Public Search Menu | | | | | | |

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3. Search for an Exceedance Response Action report using the reporting period that corresponds with the Level 1 Exceedance Response Action Report. Any facility that the user is linked to will display once you select “Search”:

Reports Search

Enter the search criteria below. Only the Reporting Period is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the Reporting Period is selected and no results display, you are not correctly linked to the WDID Number. Please contact the Legally Responsible Person to link you to the WDID number. [Back to Main Menu](#)

Reporting Period:

WDID:

Report Status:

Application ID:

Region:

fields are mandatory

Verify the Reporting Period before you begin working on a report.

Only the “Reporting Period” is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the reporting period is selected and no results display, the user is not linked to the Waste Discharge Identification (WDID) number. Please contact the Legally Responsible Person (LRP) associated with the organization to be linked to the Waste Discharge Identification number.

4. Select the facility you wish to view by clicking on the “Facility Name” hyperlink:

Reports Search

Enter the search criteria below. Only the Reporting Period is required to be selected when searching. If the search does not return any results, try entering fewer search fields. If only the Reporting Period is selected and no results display, you are not correctly linked to the WDID Number. Please contact the Legally Responsible Person to link you to the WDID number.[Back to Main Menu](#)

Reporting Period: 2016 - 2017 *

WDID:

Report Status: Select

Application ID:

Region: All

* fields are mandatory

Verify the Reporting Period before you begin working on a report.

Industrial Reports

| Facility Name | WDID/App ID | Facility Address | Report Period | Status | No. Ad Hoc | Receipt Date | Remand | Delete |
|--------------------------------------|-------------------|------------------|-----------------------|--------|------------|--------------|--------|--------|
| Fried Chicken People | 5S09I026330467592 | 6543 Coop Lane | 07/01/2016-06/30/2017 | Future | | | | |
| Larsons Shipyard LLC | 5S09I025869159147 | Not yours street | 07/01/2016-06/30/2017 | Future | | | | |

5. The Level 1 and Level 2 reports associated with the facility will display if the facility had any Numeric Action Level exceedances during the prior reporting year. By selecting the “Report ID” you can view/start the Exceedance Response Action Report and view the related exceedances:

You are logged-in as:
If this account does not belong to you, please log out.

Navigate To:

Storm Water Annual Report Monitoring (SWARM)

Facility Name: Larsons Shipyard LLC

Operator Name: Larsons Shipyard LLC

WDID: 8 301025767

Report Period: 2019-20

Annual Report:

Click on the Report ID below to access the Industrial Annual Report.

| Report ID | Report Type | Status | Due Date | Date Submitted | Submitted By | Remand |
|------------------------|---------------|---------------|------------|----------------|--------------|--------|
| 982615 | Annual Report | Not Submitted | 07/15/2020 | | | |

Level 1 and 2 ERA Report(s):

Click on the Report ID below to access the Report.

| Report ID | Report Type | Status | Due Date | Date Submitted | Submitted By | Report Action | Remand |
|--------------------------|--------------------|--------|------------|----------------|--------------|---------------|--------|
| 11077869 | Level 1 ERA Report | Future | 01/01/2020 | | | | |

Ad Hoc Report:

Click on the "New Ad Hoc Report" button to start a new Industrial Ad Hoc Report. The electronic Ad Hoc Report screens are used to enter Rain Event and Non-Storm Water Discharge Event sampling/monitoring data collected. Ad Hoc Reports associated with this Annual Report are listed below. Click on the Event ID link to access an Ad Hoc Report. The submitted Ad Hoc Reports cannot Remand after report End Date.

| Event ID | Event Type | Start Date & Time | End Date & Time | Status | Received Date | Remand | Delete |
|----------|------------|-------------------|-----------------|--------|---------------|--------|--------|
|----------|------------|-------------------|-----------------|--------|---------------|--------|--------|

- An annual average table will be displayed in the “General Info” tab for review only. This table lists the parameters that have Level 1 status in the far-right column. The Level 1 Report being submitted must include the Exceedance Response Actions that will address these listed parameters.

Water Boards Storm Water Multiple Application & Report Tracking System Help Logout

You are logged-in as:
If this account does not belong to you, please log out. Navigate To:

Storm Water Level 1 ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Larsons Shipyard LLC WDID: 8 301025767
Report Period: 2019-20 Report Status: Future

[General Info](#) [Attachments](#) [QISP](#) [Certify](#) [Status History](#) [Back to Report Main](#)

Annual Average Table

| Parameter Name | # of Samples | Sum of Results | Annual Average | Table 2 NALs | Level Status |
|-----------------------------|--------------|----------------|----------------|--------------|--------------|
| Copper, Total (Recoverable) | 2 | 1.76 mg/L | 0.88 mg/L | 0.0332 mg/L | Level 1 |
| Zinc, Total (Recoverable) | 2 | 2.2 mg/L | 1.1 mg/L | 0.26 mg/L | Level 1 |

[Back](#) [Next](#)

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- The Level 1 Exceedance Response Action Report prepared by a Qualified Industrial Stormwater Practitioner must be uploaded by entering the “Attachments” tab of this report menu in SMARTS, and selecting the “Upload Attachment” button:

Water Boards Storm Water Multiple Application & Report Tracking System Help Logout

You are logged-in as:
If this account does not belong to you, please log out. Navigate To:

Storm Water Level 1 ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Larsons Shipyard LLC WDID: 8 301025767
Report Period: 2019-20 Report Status: Future

[General Info](#) [Attachments](#) [QISP](#) [Certify](#) [Status History](#) [Back to Report Main](#)

Please click on the “Upload Attachment” button to upload the corresponding files. [Upload Attachment](#)

Attached files: The following are the current documents related to the SWARM Report. Click on the Attachment ID to view them.

| Attachment ID | File Type | File Title | File Description | Document Date | Part No. | Date Attached | Upload By | Delete |
|-------------------|-----------|------------|------------------|---------------|----------|---------------|-----------|--------|
| No records found. | | | | | | | | |

The following is an example of the “SMARTS File Upload” pop-up window that is completely filled out⁴:

- Once documents are uploaded by clicking “Choose File”
- Click on “Upload Files” and wait for the upload to complete

⁴ **NOTE:** For the Level 1 Exceedance Response Action Report please use the file type “Level 1 Technical Report”. For Storm Water Pollution Prevention Plan (SWPPP) revisions please use the file type “SWPPP”. For all other documents, use the file type “Supporting Documentation”.

Water Boards Storm Water Multiple Application & Report Tracking System Help Logout

You are logged-in as: Navigate To:
 If this account does not belong to you, please log out.

Storm Water Level 1 ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Larsons Shipyard LLC **WDID:** 8 301025767
 Report Period: 2019-20 Report Status: Future

[General Info](#) [Attachments](#) [QISP](#) [Certify](#) [Status History](#) [Back to Report Main](#)

Please click on the "Upload Attachment" button to upload the corresponding files.

| Attachment File Type | Attachment Title | File Description | Part No. | Document Date | File Name |
|----------------------------|--------------------------|------------------|-------------|---------------|----------------------------|
| Level 1 Technical Report ▼ | Level 1 Technical Report | | Part 1 of 1 | 04/24/2020 | Choose File No file chose |
| SWPPP ▼ | SWPPP Revision | | Part 1 of 1 | 04/24/2020 | Choose File No file chosen |
| Select ▼ | | | Part of | | Choose File No file chosen |

[Upload Files](#) [Cancel](#) [Add New Row](#)

Attached files: The following are the current documents related to the SWARM Report. Click on the Attachment ID to view them.

| Attachment ID | File Type | File Title | File Description | Document Date | Part No. | Date Attached | Upload By | Delete |
|-------------------|-----------|------------|------------------|---------------|----------|---------------|-----------|--------|
| No records found. | | | | | | | | |

Once complete, you may select the "Attachments" tab to refresh the screen and see that the attachment properly uploaded⁵. Once you have checked that it uploaded correctly select "Next":

Water Boards Storm Water Multiple Application & Report Tracking System Help Logout

You are logged-in as: Navigate To:
 If this account does not belong to you, please log out.

Storm Water Level 1 ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Larsons Shipyard LLC **WDID:** 8 301025767
 Report Period: 2019-20 Report Status: Future

[General Info](#) [Attachments](#) [QISP](#) [Certify](#) [Status History](#) [Back to Report Main](#)

Please click on the "Upload Attachment" button to upload the corresponding files. [Upload Attachment](#)

Attached files: The following are the current documents related to the SWARM Report. Click on the Attachment ID to view them.

| Attachment ID | File Type | File Title | File Description | Document Date | Part No. | Date Attached | Upload By | Delete |
|---------------|--------------------------|--------------------------|------------------|---------------|----------|---------------|-------------|--------|
| 2608704 | Level 1 Technical Report | Level 1 Technical Report | | 04/24/2020 | 1/1 | 04/24/2020 | Steve Smith | Delete |
| 2608705 | SWPPP | SWPPP Revision | | 04/24/2020 | 1/1 | 04/24/2020 | Steve Smith | Delete |

[Back](#) [Next](#)

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⁵ NOTE: If an incorrect attachment is uploaded, an attachment can be deleted by selecting "Delete" on the right.

8. Information for the Qualified Industrial Stormwater Practitioner that prepared the Level 1 Exceedance Response Action Report must be entered in the “QISP” tab. The “QISP” tab requires the use of the Qualified Industrial Stormwater Practitioner lookup tool. Select the “Lookup QISP” button to open the search menu:

Water Boards Storm Water Multiple Application & Report Tracking System

You are logged-in as: .
If this account does not belong to you, please log out.

Storm Water Level 1 ERA Report

Facility Name: Larsons Shipyard LLC Operator Name: Larsons
Report Period: 2019-20 Report Status: Future

General Info Attachments **QISP** Certify Status History Back to Report Main

Qualified Industrial Storm Water Practitioner (QISP)

First Name: *
Last Name: * **Lookup QISP**
QISP Certification No: *

BMP(s) Implemented Date

BMP(s) Implemented Date: MM/DD/YYYY *

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You can search using the criteria in the look up and select the Qualified Industrial Stormwater Practitioner on the right once you search:

Water Boards Storm Water Multiple Application & Report Tracking System [Help](#) [Logout](#)

You are logged-in as: . Navigate To: ▼
If this account does not belong to you, please log out.

QISP Lookup Screen

First Name:
Last Name:
Zip Code:
CBPELSG License No.:
QSD Certificate No.:
Search

| First Name | Last Name | Address | CBPELSG License No. | QISP Certificate No. | Expired Status | Select |
|------------|-----------|---------|---------------------|----------------------|----------------|---------------|
|------------|-----------|---------|---------------------|----------------------|----------------|---------------|

9. Once the Qualified Industrial Stormwater Practitioner has been identified, the final implementation date of all the new Best Management Practices (BMPs) identified must be entered. After entering the date select the “Save” button:

The screenshot shows a web form titled "Qualified Industrial Storm Water Practitioner (QISP)". It has tabs for "General Info", "Attachments", "QISP" (selected), "Certify", "Status History", and "Back to Report Main". The form contains the following fields:

- First Name: QISP *
- Last Name: Industrial *
- QISP Certification No: F09876 *

Below these is a section titled "BMP(s) Implemented Date" with a date input field containing "11/01/2016" and a calendar icon. To the right of the date field is the label "MM/DD/YYYY *". A "Save" button is located below the date field. At the bottom of the form are "Back" and "Next" buttons.

10. The “Certify” tab provides a completion check of the Level 1 Exceedance Response Action Report in progress:

The screenshot shows a web form titled "Storm Water ERA Report". It has tabs for "General Info", "Attachments", "QISP", "Certify" (selected), "Status History", and "Back to Report Main". The form contains the following information:

- Facility Name: Larsons Shipyard LLC
- Operator Name: Test
- Report Period: 2016-17
- Report Status: Future
- WDID: 5S34I025869

Below the tabs is a message: "Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:". Below this message is a "Perform Completion Check" button.

The “Perform Completion Check” function will provide the user with a notification of any errors that must be corrected prior to submission of the Level 1 Exceedance Response Action Report. (e.g. correct attachments uploaded). Any user can perform this check. If a Data Entry Person (DEP) performs the check and the Level 1 Exceedance Response Action Report is complete, SMARTS only allows the Data Entry Person to notify the Legally Responsible Person or Duly Authorized Representative (via a generated SMARTS email) that the Level 1 Exceedance Response Action Report must be certified and submitted. A Data Entry Person completing this check will see this:

Storm Water ERA Report

| | | | | | |
|----------------|----------------------|----------------|--------|-------|-------------|
| Facility Name | Larsons Shipyard LLC | Operator Name: | Test | WDID: | 5S34I025869 |
| Report Period: | 2016-17 | Report Status: | Future | | |

[General Info](#) [Attachments](#) [QISP](#) [Certify](#) [Status History](#) [Back to Report Main](#)

The Ad Hoc Application appears to be complete. A Data Entry Person cannot certify the application. Please contact the Legally Responsible Person, Approved Signatory, or Duly Authorized Representative to certify and submit the application.

[Submit to LRP/AS](#)

On Clicking the Send Email to LRP/AS button, the status of the document is updated as Not Submitted - certification required. An email is sent to the LRP/AS informing them that the data entry is complete.

Once the Data Entry Person selects “Submit to LRP/DAR”, the screen will display a message “Email successfully sent to LRP/AS” and the status “Not Submitted – certification required”.

Storm Water ERA Report

| | | | | | |
|----------------|----------------------|----------------|--|-------|-------------|
| Facility Name | Larsons Shipyard LLC | Operator Name: | Test | WDID: | 5S34I025869 |
| Report Period: | 2016-17 | Report Status: | Not Submitted - certification required | | |

[General Info](#) [Attachments](#) [QISP](#) [Certify](#) [Status History](#) [Back to Report Main](#)

Email successfully sent to LRP/AS!

Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:

[Perform Completion Check](#)

11. The Level 1 Exceedance Response Action Report must be certified and submitted by the Legally Responsible Person or Duly Authorized Representative. The Legally Responsible Person or Duly Authorized Representative must identify the Level 1 Exceedance Response Action Report in SMARTS (same steps as outlined by steps 1-5 of this guide) and select the Level 1 Exceedance Response Action Report that requires certification:⁶

Level 1 and 2 ERA Report(s):
Click on the Report ID below to access the Report.

| Report ID | Report Type | Status | Due Date |
|------------------------|--------------------|--|------------|
| 900413 | Level 1 ERA Report | Not Submitted - certification required | 01/01/2017 |

The Legally Responsible Person or Duly Authorized Representative must review the prepared Level 1 Exceedance Response Action Report for information accuracy, prior to continuing to the “Certify” tab to perform the completion check:

Storm Water ERA Report

| | | | | | |
|----------------|----------------------|----------------|--------|-------|-------------|
| Facility Name: | Larsons Shipyard LLC | Operator Name: | Test | WDID: | 5S34I025869 |
| Report Period: | 2016-17 | Report Status: | Future | | |

[General Info](#) [Attachments](#) [QISP](#) **[Certify](#)** [Status History](#) [Back to Report Main](#)

Before certifying the report, the system must verify that all required sections have been completed. To perform this check, click the button below:

[Perform Completion Check](#)

⁶ **NOTE:** If the Data Entry Person (DEP) has properly sent the Exceedance Response Action Report for certification to the Legally Responsible Person/Duly Authorized Representative then they can also view reports ready for certification in the “Documents Ready for Certification” SMARTS menu option.

12. The Legally Responsible Person or Duly Authorized Representative certifies and submits the Level 1 Exceedance Response Action Report by selecting the check box, entering their password, answering a security question, and selecting the "Submit/Certify" button:

Storm Water ERA Report

| | | | | | |
|----------------|----------------------|----------------|--|-------|-------------|
| Facility Name: | Larsons Shipyard LLC | Operator Name: | Test | WDID: | 5S34I025869 |
| Report Period: | 2016-17 | Report Status: | Not Submitted - certification required | | |

[General Info](#) [Attachments](#) [QISP](#) **[Certify](#)** [Status History](#) [Back to Report Main](#)

Completion/Error Check Completed: Report appears to be complete!

Select Certification & Submission check list

☐ I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gathered and evaluated the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is to the best of my knowledge and belief true, accurate and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Certifier Details

| | | |
|------------------|-----------------------|------------|
| Certifier Name: | Date Report Received: | 11/03/2016 |
| Certifier Title: | Test | |

Please answer your security question and password before certifying the document.

What was your High School Mascot? *

Please enter your password *

On Clicking the Certify Later button, the status of the document is updated to Not Submitted - certification required. You can certify the report by going to Documents Ready for certification in the Main Menu.

13. A confirmation screen will then confirm submission of the Level 1 Exceedance Response Action Report in SMARTS:

Storm Water ERA Report

| | | | | | |
|----------------|----------------------|----------------|-----------|-------|-------------|
| Facility Name: | Larsons Shipyard LLC | Operator Name: | Test | WDID: | 5S34I025869 |
| Report Period: | 2016-17 | Report Status: | Submitted | | |

[General Info](#) [Attachments](#) [QISP](#) **[Certify](#)** [Status History](#) [Back to Report Main](#)

Your electronic event Report has been successfully received by the State Water Resources Control Board's database and is hereby certified. Your confirmation information for this certification is as follows:

| | |
|------------------|-------------|
| WDID | 5S34I025869 |
| Report Period | 2016-17 |
| Certifier Name | |
| Date Certified | 11/03/2016 |
| Certification ID | 900413 |

All records must be retained for 5 years from the date of the report or monitoring activity.